



To: Cities, Counties, and Consultants

Date: August 6, 2007

From: Office of Local Systems

Revision No.: 2007-05

Subject: Packet and I.M. Revision Notice

The Project Development Information Packet (Packet) is in the process of being phased-out. The Packet will be replaced by the Federal-aid Project Development Guide (Guide) and the new Instructional Memorandums to Local Public Agencies (I.M.s). Refer to these web pages for additional information concerning the phase-out and transition process.

This revision notice identifies the Packet documents that have been replaced and the corresponding new I.M.s that have taken their place. It also identifies any updates to existing I.M.s. All new or updated I.M. documents are included on the pages that follow this notice. Note: This document is designed for double-sided printing, therefore documents with an odd number of pages are followed by a blank page.

If you maintain a hardcopy of the Packet and / or I.M.s, and plan to continue doing so, we recommend you either: a) as individual Packet or I.M. documents are replaced or updated, remove the old document and place the corresponding new I.M. in numeric sequence in your binder; or b) wait until the Packet is completely replaced before printing a new hardcopy. Once complete, the Guide and / or the I.M.s will be available for download as a single PDF file for convenient printing.

If you have any questions concerning the phase-out of the Packet, the transition to the new I.M.s, or these revisions, please contact Charlie Purcell at Charlie.Purcell@dot.iowa.gov or 515-239-1532.

*** PLEASE NOTIFY ALL AFFECTED PERSONNEL OF THIS CHANGE ***

Document Title or I.M Number Revision Date	Summary of Significant Revision(s)
Packet Table of Contents August 6, 2007	The Packet Table of Contents has been modified to show which Packet documents have been replaced. It includes cross-references and links to the corresponding new I.M.s. where appropriate.
I.M. Table of Contents August 6, 2007	The I.M. Table of Contents has been revised to reflect an updated numbering system and revision dates, including the new I.M.s listed below. It also includes cross-references and links to existing County Engineers I.M.s and Packet documents, where appropriate.
Chart 5 – Early ROW Acquisition Process, Packet Flow Charts Section 09-02-04	These documents have been replaced by I.M. 3.605 , Right-of-Way Acquisition, which was previously published with Revision Notice 2007-04 , dated June 18, 2007. The replacement of these documents were mistakenly omitted from Revision Notice 2007-04.
Chart 8 – ROW Authorization Process Packet Flow Charts Section 11-01-01	
I.M. 3.005 Project Development Submittal Dates and Information August 6, 2007	This I.M. has been updated. Substantive changes include the following: <ul style="list-style-type: none"> • The submittal dates have been updated to include letting dates through October 2009. • A note was added regarding the submittal dates to clarify that these dates are not applicable for projects that require an Environmental Assessment (EA) or Environmental Impact Statement (EIS) document. • General guidance concerning submittal of electronic plans and other documents has been added.

PROJECT DEVELOPMENT INFORMATION PACKET

for Local Public Agency Federal-Aid Projects

Please Note: The Packet is in the process of being phased-out. Most of the detailed guidance currently contained in the Packet documents will be transferred to the new Instructional Memorandums for Local Public Agencies (I.M.s). Eventually, the Packet will be completely replaced with a new, more concise document called the “Federal-aid Project Development Guide.” The Guide will summarize the Federal-aid project development process and reference the new I.M.s where appropriate to provide additional details concerning specific parts of the process.

If a Packet document has been replaced it is shown below in light grey text along with a cross-reference to the corresponding new I.M. In all new I.M.s, references to existing Packet documents have been replaced with references to the new I.M. that has taken or will take its place. If the referenced new I.M. is not yet complete, the web page will redirect the user to the appropriate existing Packet document(s).

This Table of Contents will remain in place until the Packet is completely phased-out.

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• Critical Path Memorandum for Project Development (Replaced by I.M. 3.005).....	N/A
• DBE Guidelines (Replaced by I.M. 3.710)	N/A
Flow Charts	Revision Date
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• Chart 1 – Project Development Process Overview (PDF).....	09-06-05
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• Chart 6D – Section 4(f) Process (PDF)	09-06-05
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• Chart 7 – Preliminary Plan Process (PDF).....	11-01-01
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- Locally Procured Federal-aid Contract Requirements N/A
- Pre-Award Checklist and Certification N/A
- Post-Award Checklist and Certification N/A
- Supplemental Agreement for Locally Procured Federal-aid Contracts..... N/A
- Forms Packet* N/A

* These forms are not included in the Project Development Information Packet itself. However, for convenience, this self-extracting executable file is provided. It contains current versions of bid / quote documents and the construction forms used for local federal-aid contract procurement process.

Appendix A – Instructional Memorandums (I.M.)

Revision Date

- I.M. 3.131 Design and Submittal of Preliminary Bridge and Culvert Plans ([PDF](#))May-03
- I.M. 3.15 Highway Improvements in the Vicinity of Airports or Heliports ([PDF](#)) Dec-02
- I.M. 3.210 Design Criteria – New Construction or Complete Reconstruction ([PDF](#)).....May-03
- I.M. 3.213 Traffic Barriers (Guardrail and Bridge Rail) ([PDF](#)) Nov-01
- I.M. 3.214 3R Guidelines ([PDF](#))May-03
- I.M. 3.216 Economic Analysis (Benefit-to-Cost Ratio) ([PDF](#))..... Oct-01
- I.M. 3.218 Design Exception Process ([PDF](#)) Dec-02

Revision Notices

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- Revision No. 01-2002 ([PDF](#))03-26-02
- Revision No. 02-2002 ([PDF](#))05-03-02
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- Revision No. 04-2002 ([PDF](#))09-10-02
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Instructional Memorandums To Local Public Agencies

Table of Contents



Note: Some of the I.M.s listed below are not yet complete. Incomplete I.M.s are shown in light grey text. Some of the incomplete I.M.s will be based on existing I.M.s that will be renumbered. Other incomplete I.M.s will be based on content that is currently part of the [Project Development Information Packet](#). Still other incomplete I.M.s will include entirely new content. Where applicable, a reference and link to the existing I.M. or Packet document is provided.

No.	Subject	Revision Date	Written To
Chapter 1 – General Information			
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1.010	County Road Embargoes on the Iowa Detour and Road Embargo Map	November 2001	Counties
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1.050	Manuals, Guides and Instructional Information Available to Counties	December 2002	Both
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2.020	Federal and State Bridge Replacement and Rehabilitation Programs	August 2004	Counties
2.030	Transfer of Farm-to-Market Funds to the Local Secondary Road Fund	April 12, 2007	Counties
2.040	Temporary Allocation of Farm-to-Market Funds	November 2001	Counties
2.050	Procedure to Change a County Secondary Road Construction Program (see I.M. 3.11 , dated March 2003)	N/A	Counties
	Attachment A – Add FM or Local Project Resolution (see attachment to I.M. 3.11 , dated March 2003) (Word)	N/A	Counties
	Attachment B - Advance Local Project Resolution (see attachment to I.M. 3.11 , dated March 2003) (Word)	N/A	Counties
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2.220	Establishing and Signing Area Service B and Area Service C Roads	January 2004	Counties
	Attachment A - Area Service "B" Ordinance (Word)	March 2002	Counties
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2.240	Iowa DOT Traffic Counts	N/A	Both
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2.310	Construction Agreements Between City and County on Secondary Road Extensions	April 2002	Both
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3.030	Project Development Outline -- Local Funding (L)	February 2002	Both
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	Attachment C - Environmental Impact Statement / ROD Process (see Packet, Flowcharts, Chart No. 6B – Environmental Impact Statement / ROD Process)	N/A	Both
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	Attachment A - Farmland Protection Policy Act Process Flowchart (see Packet, Flowcharts, Chart No. 6E – Farmland Protection Policy Act Process)	N/A	Both
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No.	Subject	Revision Date	Written To
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	Attachment B – FHWA Authorization of Right-of-Way Costs Flowchart	June 18, 2007	Both
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	Attachment B – FHWA Authorization of Utility Relocation Costs Flowchart	June 18, 2007	Both
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	Attachment B – Notification of Construction Work in Railroad Right-of-Way (Word)	May 1, 2007	Both
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3.710	DBE Guidelines	June 18, 2007	Both
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	Attachment C - Supplemental Agreement	April 12, 2007	Both
	Forms Packet *	N/A	Both
	* The documents included in the Forms Packet are not actually a part of I.M. 3.720 or its attachments. However, for convenient download, these documents are bundled together in a self-extracting executable file (forms.exe).		
3.730	Iowa DOT Letting Process (see I.M. 3.44 , dated September 2005)	N/A	Both
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No.	Subject	Revision Date	Written To
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	Attachment C - Resolution to Vacate a County Road (Word)	September 2002	Counties
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4.220	Farm-to-Market Review Board Advisory Opinions on Proposed Jurisdictional Transfers	April 2002	Counties

INSTRUCTIONAL MEMORANDUMS
To Local Public Agencies



To: Counties and Cities	Date: August 6, 2007
From: Office of Local Systems	I.M. No. 3.005
Subject: Project Development Submittal Dates and Information	

Contents: This Instructional Memorandum (I.M.) lists the submittal dates for some of the major milestone events for development for Local Public Agency (LPA) projects that will be let by the Iowa Department of Transportation (Iowa DOT). It also summarizes the information that should be included with each submittal.

Submittal Dates for Local Public Agency Projects Let by the Iowa DOT

Following are submittal dates for the November 20, 2007 through October 20, 2009 Iowa DOT lettings. All submittals should be *received* by the Iowa DOT Administering Office on the dates shown below. However, early submittals are always encouraged.

Concept Statement		Preliminary Plans		Check Plans		Final Plans and PDC (2 weeks)	Contracts Turn-in	Letting Date	Fiscal Year
Major (42 weeks)	Minor (16 weeks)	Major (16 weeks)	Minor (11 weeks)	Major (6 weeks)	Minor (5 weeks)				
11/14/06	05/15/07	05/15/07	06/19/07	07/24/07	07/31/07	08/21/07	09/04/07	11/20/07	2008
12/12/06	06/12/07	06/12/07	07/17/07	08/21/07	08/28/07	09/18/07	10/02/07	12/18/07	
01/16/07	07/17/07	07/17/07	08/21/07	09/25/07	10/02/07	10/23/07	11/06/07	01/16/08	
02/13/07	08/14/07	08/14/07	09/18/07	10/23/07	10/30/07	11/20/07	12/04/07	02/19/08	
03/13/07	09/11/07	09/11/07	10/16/07	11/20/07	11/27/07	12/18/07	12/31/07	03/18/08	
04/17/07	10/16/07	10/16/07	11/20/07	12/26/07	01/02/08	01/22/08	02/05/08	04/15/08	
05/15/07	11/13/07	11/13/07	12/18/07	01/22/08	01/29/08	02/19/08	03/04/08	05/20/08	
06/12/07	12/11/07	12/11/07	01/15/08	02/19/08	02/26/08	03/18/08	04/01/08	06/17/08	
07/17/07	01/15/08	01/15/08	02/19/08	03/25/08	04/01/08	04/22/08	05/06/08	07/15/08	
08/14/07	02/12/08	02/12/08	03/18/08	04/22/08	04/29/08	05/20/08	06/03/08	08/19/08	
09/11/07	03/11/08	03/11/08	04/15/08	05/20/08	05/27/08	06/17/08	07/01/08	09/16/08	
10/16/07	04/15/08	04/15/08	05/20/08	06/24/08	07/01/08	07/22/08	08/05/08	10/21/08	
11/13/07	05/13/08	05/13/08	06/17/08	07/22/08	07/29/08	08/19/08	09/02/08	11/18/08	
12/18/07	06/17/08	06/17/08	07/22/08	08/26/08	09/02/08	09/23/08	10/07/08	12/16/08	
01/15/08	07/15/08	07/15/08	08/19/08	09/23/08	09/30/08	10/21/08	11/04/08	01/21/09	
02/12/08	08/12/08	08/12/08	09/16/08	10/21/08	10/28/08	11/18/08	12/02/08	02/17/09	
03/18/08	09/16/08	09/16/08	10/21/08	11/25/08	12/02/08	12/23/08	01/06/09	03/17/09	
04/15/08	10/14/08	10/14/08	11/18/08	12/23/08	12/30/08	01/20/09	02/03/09	04/21/09	
05/13/08	11/12/08	11/12/08	12/16/08	01/20/09	01/27/09	02/17/09	03/03/09	05/19/09	
06/17/08	12/16/08	12/16/08	01/20/09	02/24/09	03/03/09	03/24/09	04/07/09	06/16/09	
07/15/08	01/13/09	01/13/09	02/17/09	03/24/09	03/31/09	04/21/09	05/05/09	07/21/09	
08/12/08	02/10/09	02/10/09	03/17/09	04/21/09	04/28/09	05/19/09	06/02/09	08/18/09	
09/16/08	03/17/09	03/17/09	04/21/09	05/26/09	06/02/09	06/23/09	07/07/09	09/15/09	
10/14/08	04/14/09	04/14/09	05/19/09	06/23/09	06/30/09	07/21/09	08/04/09	10/20/09	

Important notes regarding submittal dates:

- 1) Projects using the "Major" submittal dates typically involve any of the following: wetlands, recreational areas, or wildlife refuges; railroad crossings; historical structures or historical districts; right-of-way or easement acquisitions; or Federal-aid for consultant work. Examples include relocating a road on new alignment, major reconstruction, a major bridge, or a historical structure. Note: All projects requiring a hydraulic or structural review should follow the schedule for "Major" type projects.

- 2) Projects using the “Minor” submittal dates typically do not involve any of the items listed above for the “Major” type projects. Examples include an asphalt resurfacing project or a bike trail surfacing project on an existing railroad bed.
- 3) Neither the Major nor the Minor project submittal dates are applicable to Federal-aid projects that require an Environmental Assessment (EA) or Environmental Impact Statement (EIS) document. The submittal dates shown above reflect the *minimum* amount of time required by the *Iowa DOT* to review the submittal. *These dates do not reflect the time that may be required by other agencies for the appropriate reviews and approvals.* The project schedule should be based on the specific circumstances of the project. Federal-aid projects that have significant impacts to environmental or historical resources, require large amounts of right-of-way, or involve adjustments to railroad or utility facilities, will likely require additional time to develop for letting. Therefore, in such cases, it will probably be necessary to submit the Concept Statement and Preliminary Plans earlier than the dates shown. For additional guidance and information, refer to [I.M. 3.002](#), Federal-aid Project Scheduling.
- 4) The “Final Plans and PDC” date is when the LPA shall submit final plans and the Project Development Certification (PDC) to the Administering Office.
- 5) The “Letting Date” is the third Tuesday of every month, except January, which is the Wednesday after the third Tuesday of the month.
- 6) The “Contracts Turn-in” date is the first Tuesday, 2 months prior to letting. This date is when the Administering Office will deliver final plans to the Office of Contracts.
- 7) All other submittal dates are calculated from the “Contracts Turn-in” date by subtracting the number of weeks shown, except when such dates conflict with a State holiday. Dates adjusted for a holiday are shown in **bold**.
- 8) The “Fiscal Year” is the Federal fiscal year in which a project should be programmed in the Statewide Transportation Improvement Program (STIP) for the letting dates shown. Even though October 1 is the beginning of the Federal fiscal year, projects targeting an October letting should be programmed in the previous fiscal year. This is because projects in the October letting are authorized for letting in September.

Administering Office When it occurs in this document, and elsewhere throughout the I.M.s, the term, “Administering Office,” shall refer to the Iowa DOT [Office of Systems Planning](#) for projects funded by the Transportation Enhancement, Federal Recreational Trails, Scenic Byways, Safe Routes to School, or Revitalize Iowa’s Sound Economy (RISE) programs; unless such projects are already being administered by one of the Iowa DOT District Offices. For all other projects, the term, “Administering Office,” shall refer to the appropriate Iowa DOT [District Office](#).

Electronic Submittals Plans may be submitted in electronic format, if they conform to the requirements of the [File Specifications for Electronic Plan Submittals to the Iowa DOT](#). Any of the other documents listed below may also be submitted in electronic format, provided the means of transmission and file format is acceptable to the Administering Office. Files may be transmitted via e-mail or the Transportation Project Management System ([TPMS](#)). If sent by e-mail, contact the Administering Office for the appropriate e-mail address. Acceptable file formats for electronic documents include: Microsoft Word (*.doc), Adobe Acrobat (*.pdf), Joint Photographs Expert Group (*.jpg), Graphic Interchange Format (*.gif), and Tag Image File Format (*.tif). If submitted electronically, paper copies are not required. Otherwise, submit hard copies as noted below.

Concept Statement Include the following items in a Federal-aid project “Concept Statement for Local Systems Federal-aid Projects” (Form 517001) submittal (non-Federal-aid projects do not require a Concept Statement):

- 1 transmittal letter (or e-mail, if submitted electronically). Include a description of any unique aspects of the project or other information that cannot be adequately explained on the Concept Statement form.
- 4 copies of the Concept Statement. This form is available on-line in either [Microsoft Word](#) or [eForms XML](#) format. Include a location map and any applicable environmental documents with each copy. For more information, refer to [I.M. 3.105](#), Concept Statement Instructions.
- If a design exception is required, include 1 copy of the design exception documentation. For more information, refer to [I.M. 3.218](#), Design Exception Process. If the need for a design exception cannot be determined when the Concept Statement is submitted, submit the design exception request as soon as possible, but no later than the Check Plan submittal date.
- If required by the Concept Statement, include 2 copies of the Environmental Data Sheet (Form 517006). This form is available on-line in either [Microsoft Word](#) or [eForms XML](#) format. If the information required by this form is not known at the time of the Concept Statement submittal, submit the Environmental Data Sheet as soon as possible, but no later than the Preliminary Plan submittal date. For more information, refer to [I.M. 3.110](#), Environmental Data Sheet Instructions.

Incomplete Concept Statement submittals will delay project reviews. All submittals shall include the Iowa DOT project number. Users of the Transportation Program Management System (TPMS) may request project numbers using this system; otherwise, contact the Administering Office to obtain a project number.

Preliminary Plans Include the following items in a Federal-aid project Preliminary Plan submittal (non-Federal-aid projects do not require preliminary plans):

- 1 transmittal letter (or e-mail, if submitted electronically), including the following:
 - the proposed letting date;
 - identification of all changes from the previously approved project Concept Statement, if any; and
 - whether or not a hydraulic review is being requested.
- 2 copies of the plans for all Preliminary Plan submittals.
- If the project involves a bridge or culvert that requires a hydraulic review, include 1 extra copy of the plans and 2 copies of the hydraulic review materials.
- If the project involves any work on an Interstate or Primary highway, include 3 extra copies of the plans.
- If the project involves right-of-way acquisitions or easements, include 1 extra copy of the title sheet and plan sheets that show the proposed right-of-way or easements.
- If a design exception is required but has not been previously requested, include the design exception documentation as noted in the Concept Statement section above.
- If submittal of the Environmental Data Sheet (Form 517006) is required but has not been previously submitted, include copies of this form as noted in the Concept Statement section above.
- 1 completed copy of the Preliminary Plan Checklist, included as [Attachment B](#) to I.M. 3.405, Preliminary Plans (use of the checklist is encouraged, but not required).

For more information on the preliminary plan requirements and hydraulic review criteria for bridge and culvert projects, refer to [I.M. 3.405](#), Preliminary Plans.

Please note: Design activities for Federal-aid projects may not progress past the preliminary plan stage until after FHWA Environmental Concurrence has been received.

Check Plans Include the following items in the check plan submittal:

- 1 transmittal letter (or e-mail, if submitted electronically), including the following information:
 - the proposed letting date;
 - identification of all changes from the previously approved project Concept Statement, if any;
 - whether or not a structural review is requested;
 - if a bridge, culvert, or grading project does not require a U.S. Army Corps of Engineers 404 permit, a statement that explains why the permit is not required;
 - if a bridge, culvert, or grading project does not require an Iowa Department of Natural Resources Floodplain Construction permit, a statement that explains why the permit is not required;
 - if the project does not disturb one or more acres of land, a statement that the National Pollutant Discharge Elimination System (NPDES) permits is not required; and
 - if a federal-aid bridge or culvert project will not use epoxy-coated reinforcing steel, a waiver request as per the Bridge or Culvert Plan Supplementary Checklist, included as [Attachment A](#) to I.M. 3.510, Check and Final Bridge or Culvert Plans.
- 2 copies of the plans for all check plan submittals.
- If the project includes any Special Provisions, include 1 electronic copy of each Special Provision. If the Check Plans are submitted in hardcopy format, also include 1 hardcopy of the Special Provisions
- If the project involves a bridge or culvert that requires a structural review, include 1 extra copy of the plans and 2 copies of the structural calculations.
- If the project involves any work on an Interstate or Primary highway, include 3 extra copies of the plans and 3 extra hard copies of each Special Provision.
- If the project involves right-of-way acquisitions or easements, include 1 extra copy of the title sheet and plan sheets that show the proposed right-of-way or easements.
- If a design exception is required but has not been previously requested, include the design exception documentation as noted in the Concept Statement section above.
- 1 completed copy of the Check and Final Plan Checklist, included as [Attachment B](#) to I.M. 3.505, Check and Final Plans (use of the checklist is encouraged, but not required).
- If a Public Interest Finding is being requested, include justification. For more information, refer to [I.M. 3.760](#), Public Interest Findings.

Check plans should be 100% complete and incorporate all preliminary plan review comments provided by the Administering Office and any other offices that were involved in the preliminary plan review. The engineer's signature is not needed on the Check Plan submittal. For more information on the check plan requirements, refer to [I.M. 3.505](#), Check and Final Plans. For more information on the structural review criteria for bridge and culvert projects, refer to [I.M. 3.510](#), Check and Final Bridge or Culvert Plans.

Final Plans Include the following items in the final plan submittal:

- ❑ 1 transmittal letter (or e-mail, if submitted electronically), including the following information:
 - the proposed letting date;
 - if requested, any specific contract requirements (e.g., start date, number of working days, combined projects, etc.), including the reasons for the request;
 - identification of any changes, in addition to those requested by the check plan review, that have been made to the plans since the Check Plan submittal. Please be specific. It is especially important to note any changes that affect bid items or the estimate reference information. Use of highlighter to indicate the changes on the copy of the final plans is also acceptable; and
 - if multiple funding sources will be used for the contract (not counting the local match), specify the type and order in which the funds should be used.
- ❑ 1 unbound set of reproducible final plans with original signatures. Note: The signature of the certifying Engineer and / or Architect shall be in contrasting ink (blue works best). Signatures on electronic plans do not require a color contrast. For more information, refer to the [File Specifications for Electronic Plan Submittals to the Iowa DOT](#).
- ❑ 1 copy of the final plans.
- ❑ 2 copies of the project cost estimate.
- ❑ 1 electronic Trns*Port bid item file. The Trns*Port file is required for city projects and strongly encouraged for county projects with more than 6 bid items. For more information, refer to [I.M. 3.520](#), Electronic Bid Item Information.
- ❑ If the project includes any Special Provisions, include 1 electronic copy of each Special Provision. If the Final Plans are submitted in hardcopy format, also include 2 hardcopies of the Special Provisions
- ❑ If the project involves any work on a Interstate or Primary highway, include 3 extra copies of the plans and 3 extra hard copies of each Special Provision.
- ❑ 1 Project Development Certification (PDC) (Form 730002). The PDC is available on-line in either [Microsoft Word](#) or Adobe Acrobat ([PDF](#)) format. For more information, refer to [I.M. 3.750](#), Project Development Certification Instructions.
- ❑ If a Public Interest Finding is being requested, include justification. For more information, refer to [I.M. 3.760](#), Public Interest Findings.

Final plans should incorporate all check plan comments made by the Administering Office and any other offices involved in the check plan review. For more information on the final plan requirements, refer to [I.M. 3.505](#), Check and Final Plans, and [I.M. 3.510](#), Check and Final Bridge or Culvert Plans.